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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Koichi FUNAYA *et al.*

Title: VIDEO APPARATUS AND RE-  
ENCODER THEREFOR

Appl. No.: 09/614,904

Filing Date: 07/12/2000

Examiner: Unknown

Art Unit: 2714

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**OCT 31 2002**

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**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.56**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith on Form PTO-1449 is a listing of documents known to Applicants in order to comply with Applicant's duty of disclosure pursuant to 37 CFR §1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR §1.97 and §1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

**TIMING OF THE DISCLOSURE**

The listed documents are being submitted in compliance with 37 C.F.R. §1.97(b), before the mailing of a first Office Action on the merits. Each document listed on the modified Form PTO-1449 was cited in a Japanese Office Action dated July 31, 2002 from the Japanese Patent Office in a counterpart Japanese application.

**RELEVANCE OF EACH DOCUMENT**

According to a translation of a portion of the Japanese Office Action related to the documents listed on the modified Form PTO-1449, the Japanese Office Action stated:

Regarding Claims 1 through 43

Cited Literature Nos. 1, 2, 3, 4 and 5

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The recorder, the replication management information and bit rate controller, the effect data generator, the resolution conversion filter and the code parameters are each described respectively in the first, second, third, fourth and fifth cited examples.

A Notification of Reasons for Rejections will be forwarded if additional reasons for rejection are discovered.

**List of Cited Literature**

1. Japanese Unexamined Patent Application Publication H11-098443
2. Japanese Unexamined Patent Application Publication H06-311043
3. Japanese Unexamined Patent Application Publication H11-122580
4. Japanese Unexamined Patent Application Publication H10-276400
5. Japanese Unexamined Patent Application Publication H09-083948

English language Abstracts of the documents listed on the modified PTO-1449 are also submitted.

Applicant respectfully requests that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO-1449 be returned in accordance with MPEP §609.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 CFR §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Respectfully submitted,

Date October 30, 2002

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